

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
1675.101.1.1

In Re Application Of Walker, et al.

SEP 28 2001

Serial No.
09/901,917

Filing Date
July 9, 2001

Examiner
UNKNOWN

Group Art Unit
UNKNOWN

Title: **METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR**

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Dated: September 28, 2001

Jesus Juanos i Timoneda, Ph.D.
Attorney for Applicant
Reg. No. 43,332

EL893520966US



022901

PATENT TRADEMARK OFFICE

CC:

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

1675.101.1.1

In Re Application Of: Walker, et al.

SEP 28 2001

Serial No.

09/901,517

Filing Date

July 9, 2001

Examiner

UNKNOWN

Group Art Unit

UNKNOWN

Title: **METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR**

Address to:

Assistant Commissioner for Patents

Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).



PATENT APPLICATION
Docket No: 11675.101.1.1

#3/IPS
DKing
12/6/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re application of:

Walker, et al.

Serial No.: 09/901,917

Filed: July 9, 2001

For: METHOD OF MAKING A SELF-ALIGNED
RECESSED CONTAINER CELL CAPACITOR

Examiner: UNKNOWN

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) Art Unit
) UNKNOWN
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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

United States Patent Documents

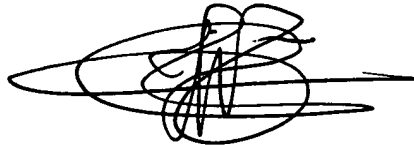
<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
5,225,698	7/1993	Kim et al.	257	303	
5,089,868	2/1992	Motonami	257	303	
5,068,199	11/1991	Sandhu	257	303	
5,017,506	5/1991	Shen, et al.	437	52	
5,753,547	5/1998	Ying	438	253	
5,665,201	9/1997	Sahota	438	693	
5,352,913	10/1994	Chung, et al.	257	301	
5,665,624	9/1997	Hong	438	244	
5,563,433	10/1996	Nagata, et al.	257	301	
5,550,078	8/1996	Sung	437	52	
5,521,111	5/1996	Sato	437	52	
5,343,354	8/1994	Lee, et al.	361	622	
5,223,730	6/1993	Rhodes, et al.	257	301	
5,168,366	12/1992	Sasaki	257	297	
4,999,689	3/1991	Iguchi, et al.	357	23.6	
5,416,348	5/1995	Jeng	257	297	
5,466,628	11/1995	Lee, et al.	437	60	

Foreign Patents

<u>Document Number</u>	<u>Date</u>	<u>Country/Name</u>	<u>Translation of Abstract</u>
2-2672	8/1990	Japan/Sakao	YES
64-24453	7/1987	Japan/Goto	"

Dated this 28th day of September, 2001

Respectfully submitted,



Jesús Juanós i Timoneda, Ph. D.
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Registration No. 43,332

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SEP 28 2001

TRANSMITTAL LETTER
(General - Patent Pending)

Docket No.
11675.101.1.1

In Re Application Of: Walker, et al.

Serial No.
09/901,917

Filing Date
July 9, 2001

Examiner
UNKNOWN

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Title: **METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR**

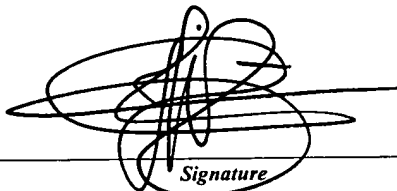
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Signature

Dated: September 28, 2001

Jesus Juanos i Timoneda, Ph. D.
Attorney for Applicant
Reg. No. 43,332



022901

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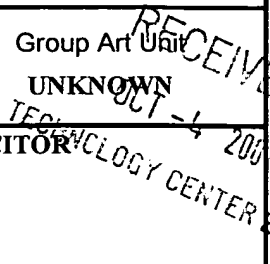
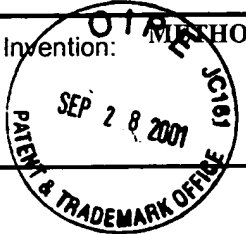

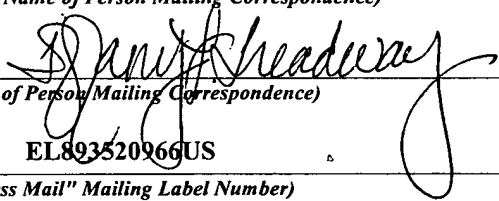
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10-01-01

2812

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 11675.101.1.1	
Applicant(s): Walker, et al.				
Serial No. 09/901,917	Filing Date July 9, 2001	Examiner UNKNOWN	Group Art Unit UNKNOWN	
Invention: METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR				
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<p>Note: Each paper must have its own certificate of mailing.</p> <p>Transmittal Letter (1 pg. in dup); Transmittal of IDS (2 pgs.); IDS (2 pgs.); Information Disclosure Citation (2 pgs.); Copies of Cited References; Postcard</p>				